PTO/SB/08a (09-06)
Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

Complete if Known	
Application Number	10/677,838
Filing Date	October 2, 2003
First Named Inventor	Jones
Art Unit	3694
Examiner Name	Trammell
Attorney Docket Number	006878.116901

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/M.S./		US- 2001/0037277	11-01-2001	Willis et al.	
		US- 2002/0042770	04-11-2002	Slyke et al.	
		US- 2002/0052819	05-02-2002	Burton	
		US- 2002/0099670	07-25-2002	Lange	
		US- 2002/0147670	10-10-2002	Lange	
		US- 2002/0156719	10-24-2002	Finebaum et al.	
		US- 2003/0028468	02-06-2003	Wong et al.	
		US- 2003/0009406	01-09-2003	Ross	
		US- 2003/0093375	05-15-2003	Green et al	
		US- 2003/0115128	06-19-2003	Lange et al.	
		US- 2003/0130941	07-10-2003	Birle, Jr. et al.	
		US- 2003/0135436	07-17-2003	Birle, Jr et al.	
		US- 2003/0135446	07-17-2003	Birle, Jr et al.	
		US- 2003/0163400	08-28-2003	Ross et al	
		US- 2003/0236738	12-25-2003	Lange et al.	
		US- 2004/0006520	01-08-2004	Birle, Jr. et al.	
		US- H2064	05-06-2003	Buchalter	
		US- 5,704,045	12-30-1997	King et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] Number[4] Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature	/Mohammad Shaikh/	Date Considered	09/13/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/08a (09-06)
Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 3

Complete if Known	
Application Number	10/677,838
Filing Date	October 2, 2003
First Named Inventor	Jones
Art Unit	3694
Examiner Name	Trammell
Attorney Docket Number	005678.118700

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/M.S./		US- 5,742,775	04-21-1998	King	
		US- 6,148,293	11-14-2000	King	
		US- 6,278,981	08-21-2001	Dembo et al	
		US- 6,321,212	11-20-2001	Lange	
		US- 6,381,585	04-30-2002	Mazlo et al	
		US- 6,418,419	07-09-2002	Nieboer et al	
		US- 6,484,152	11-19-2002	Robinson	
		US- 2003/0225656	12-04-2003	Aberman et al	
		US- 2001/0049651	12-06-2001	Selleck	
		US- 2001/0056392	12-27-2001	Daughtery, III	
		US- 6,263,321	07-17-2001	Daughtery, III	
		US- 6,112,188	08-29-2000	Hartnett	
		US- 5,761,441	06-02-1998	Bennett	
		US- 6,134,536	10-17-2000	Shepard	
		US- 5,970,479	10-19-1999	Shepard	
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] Number[4] Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

Examiner Signature	/Mohammad Shaikh/	Date Considered	09/13/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/08b (09-06)
Approved for use through 03/31/2007. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 3 of 3

	Complete if Known
Application Number	10/677,838
Filing Date	October 2, 2003
First Named Inventor	Jones
Art Unit	3694
Examiner Name	Trammell
Attorney Docket Number	006878.116901

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
/M.S./		"Mandatory Convertible", Investopedia.com, undated	
		"Gabelli to Sell Mandatory Convertible Securities", Gabelli Asset Management, Inc., January 29, 2002	
		"AMG Mandatory Convertible Securities Sale Yields $223 Million in Net Proceeds", AMG News, January 10, 2002	
		"Moni's Convertibles Training", Comment of the Week, August 2, 2002	
		"A Note on Mandatory Convertible Securities", Brown Brothers Harriman, May 13, 2003	
		"A.M. Best Assigns Senior Debt Rating to St. Paul's Equity Units", Business Wire, www.findarticles.com, July 31, 2002	

Examiner Signature	/Mohammad Shaikh/	Date Considered	09/13/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.